

533 Rec'd PCT/PTO 16 AUG 2001

FORM PTO 1390
(REV 11-98)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

SONYJP-135

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/913688

INTERNATIONAL APPLICATION NO.
PCT/JP00/08892INTERNATIONAL FILING DATES
December 15, 2000PRIORITY DATE CLAIMED
December 17, 1999TITLE OF INVENTION INFORMATION PROCESSING APPARATUS AND METHOD AND
RECORDING MEDIUMAPPLICANT(S)
FOR DO/EO/US

Takeo MORINAGA

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371 (f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371 (b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371 (c)(2)) **(Including PCT Request)**
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☒ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). **(Unexecuted)**
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98, w/PTO-1449, 3 references
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 & 3.31 is included.
13. ☐ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

Copy of Client letter w/Article 19 Amendments

Thirteen (13) Sheets of Formal Drawings and page 14 which is a description of reference numbers

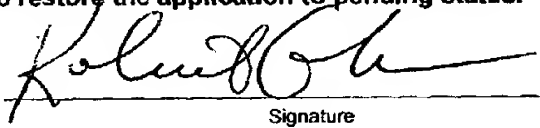
Copy of International Search Report (in English & Japanese)

Form PTO-1390 (Rev 10-98)

Page 1 of 2

EXPRESS MAIL LABEL NO. EL807550945USDATE: August 16, 2001

PCT/JP00/08892

| | | | | | |
|---|---------------------|---|---|---|--|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 097913688 | | INTERNATIONAL APPLICATION NO. PCT/JP00/08892 | | ATTORNEY'S DOCKET NUMBER SONYJP-135 | |
| 17. <input checked="" type="checkbox"/> The following fees are submitted: | | | | CALCULATIONS PTO USE ONLY | |
| BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$970.00 <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$840.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$690.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$670.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) \$96.00 | | | | | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | 840.00 | |
| Surcharge of <u>\$130.00</u> for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)). | | | | | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | *38 - 20 = | 18 | x \$18.00 | 324.00 | |
| Independent claims | 8 - 3 = | 5 | x \$78.00 | 390.00 | |
| MULTIPLE DEPENDENT CLAIM(s) (if applicable) | | | | + \$260.00 | |
| TOTAL OF ABOVE CALCULATIONS = | | | | 1,554.00 | |
| Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28). | | | | | |
| SUBTOTAL = | | | | 1,554.00 | |
| Processing fee of <u>\$130.00</u> for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)) | | | | + | |
| TOTAL NATIONAL FEE = | | | | 1,554.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21 (h)). Assignment must be accompanied by appropriate cover sheet (37 CFR 3.28, 3.31) (\$40.00 per property). | | | | + | |
| TOTAL FEES ENCLOSED = | | | | 1,554.00 | |
| *based on Article 19 Amendment | | | | Amount to be: Refunded Charged | |
| a. <input type="checkbox"/> A check in the amount of _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>12-1095</u> in the amount of <u>\$1,554.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to my Deposit Account No. <u>12-1095</u> . A duplicate copy of this sheet is enclosed. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: | | | | | |
| Lerner, David, Littenberg, Krumholz & Mentlik, LLP 600 South Avenue West Westfield, NJ 07090 Telephone 908 654-5000 Facsimile 908 654-7866 | | |  Signature ROBERT B. COHEN Name 32,768 Registration Number | | |

097913688

EXPRESS MAIL LABEL NO.:
DATE: November 14, 2001

EL804518574US

JC15 Rec'd PCT/PTO 14 NOV 2001

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|---|--|---|--|---|--|
| FORM PTO 1390 (REV 11-2000) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER SONYJP-135 | |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 09/913,688 | |
| INTERNATIONAL APPLICATION NO. PCT/JP00/08892 | | INTERNATIONAL FILING DATES 15 December 2000 | | PRIORITY DATE CLAIMED 17 December 1999 | |
| TITLE OF INVENTION INFORMATION PROCESSING APPARATUS AND METHOD AND RECORDING MEDIUM | | | | | |
| APPLICANT(S) FOR DO/EO/US Takeo Morinaga | | | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information. | | | | | |
| 1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. | | | | | |
| 2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing 35 U.S.C. 371 | | | | | |
| 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below. | | | | | |
| 4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (PCT Article 31). | | | | | |
| 5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) | | | | | |
| a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). | | | | | |
| b. <input type="checkbox"/> has been communicated by the International Bureau. | | | | | |
| c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). | | | | | |
| 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)). | | | | | |
| a. <input type="checkbox"/> is attached hereto. | | | | | |
| b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4) | | | | | |
| 7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) | | | | | |
| a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). | | | | | |
| b. <input type="checkbox"/> have been communicated by the International Bureau. | | | | | |
| c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. | | | | | |
| d. <input type="checkbox"/> have not been made and will not be made. | | | | | |
| 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)). | | | | | |
| 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). (Executed) | | | | | |
| 10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)). | | | | | |
| Items 11 to 20 below concern document(s) or information included: | | | | | |
| 11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. | | | | | |
| 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. | | | | | |
| 13. <input type="checkbox"/> A FIRST preliminary amendment. | | | | | |
| 14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. | | | | | |
| 15. <input type="checkbox"/> A substitute specification. | | | | | |
| 16. <input type="checkbox"/> A change of power of attorney and/or address letter. | | | | | |
| 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825. | | | | | |
| 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). | | | | | |
| 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). | | | | | |
| 20. <input checked="" type="checkbox"/> Other items or information: Copy of Notification of Missing Requirements Under 35 U.S.C. 371 In The United States Designated/Elected Office (DO/EO/US), Copy of Notification Of A Defective Oath or Declaration | | | | | |

| | | | | | |
|--|--------------|--|------|--|----|
| U S APPLICATION NO (if known, see 37 CFR 1.5) | | INTERNATIONAL APPLICATION NO PCT/JP00/08892 | | ATTORNEY'S DOCKET NUMBER SONYJP 3.3-135 | |
| 21. <input checked="" type="checkbox"/> The following fees are submitted: | | | | CALCULATIONS PTO USE ONLY | |
| BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): | | | | | |
| <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1040.00 | | | | | |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$890.00 | | | | | |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00 | | | | | |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$710.00 | | | | | |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 | | | | | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | \$ | |
| Surcharge of \$ 130.00 for furnishing the oath or declaration later than | | | | \$ 130.00 | |
| <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)). | | | | | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | -20 = | | x | \$ | |
| Independent claims | -3 = | | x | \$ | |
| MULTIPLE DEPENDENT CLAIM(s) (if applicable) | | | + | \$ | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 130.00 | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ | |
| SUBTOTAL = | | | | \$ 130.00 | |
| Processing fee of \$ for furnishing the English translation later than | | | | \$ | |
| <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)). + | | | | | |
| TOTAL NATIONAL FEE = | | | | \$ 130.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21 (h)). Assignment must be accompanied by appropriate cover sheet (37 CFR 3.28, 3.31) (per property). | | | | + \$ | |
| TOTAL FEES ENCLOSED = | | | | \$ 130.00 | |
| | | | | Amount to be Refunded: | \$ |
| | | | | Charged: | \$ |
| 11/27/2001 UEDUWIJE 00000084 121095 09913688 | | | | | |
| 01 FC:154 130.00 CH | | | | | |
| a. <input type="checkbox"/> A check in the amount of \$ to cover the above fees is enclosed. | | | | | |
| b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 12-1095 in the amount of \$ 130.00 to cover the above fees. A duplicate copy of this sheet is enclosed. | | | | | |
| c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to my Deposit Account No. 12-1095. A duplicate copy of this sheet is enclosed. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO | | | | | |
| LERNER, DAVID, LITTENBERG, KRUMHOLZ & MENTLIK, LLP | | | | | |
| 600 South Avenue West | | | | | |
| Westfield, New Jersey 07090 | | | | | |
| (908) 518-6304 | | | | | |
| SIGNATURE: Robert B. Cohen | | | | | |
| NAME | | | | | |
| 32,768 | | | | | |
| REGISTRATION NUMBER | | | | | |